

DOCKET NO.: MSFT-2955/307064.01

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

**F. Soner Terek, Ajay Kalhan,
Nagavamsi Ponnekanti, Srikumar Rangarajan
and Michael J. Zwillig**

Confirmation No.: Not Yet Assigned

Application No.: Not Yet Assigned

Group Art Unit: Not Yet Assigned

Filing Date: Herewith

Examiner: Not Yet Assigned

For: SYSTEMS AND METHODS FOR FRAGMENT-BASED SERIALIZATION

**EXPRESS MAIL LABEL NO: EV251841230US
DATE OF DEPOSIT: April 9, 2004**

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

INFORMATION DISCLOSURE STATEMENT

Pursuant to 37 CFR § 1.56 and in accordance with 37 CFR §§ 1.97-1.98, information relating to the above-identified application is hereby disclosed. Inclusion of information in this statement is not to be construed as an admission that this information is material as that term is defined in 37 CFR § 1.56(b).

- ☒ In accordance with § 1.97(b), since this Information Disclosure Statement is being filed either within three months of the filing date of the above-identified application, within three months of the date of entry into the national stage of the above identified application as set forth in § 1.491, before the mailing date of a first Office Action on the merits of the above-identified application, or before the mailing date of a first Office Action after the filing of request for continued examination under § 1.114, no additional fee is required.

☐ In accordance with § 1.129(a), this Information Disclosure Statement is being filed in connection with ☐ the first or ☐ second After Final Submission, therefore:

☐ Certification in Accordance with § 1.97(e) is attached; or

☐ The fee of \$180.00 as set forth in § 1.17(p) is attached.

☐ In accordance with § 1.97(c), this Information Disclosure Statement is being filed after the period set forth in § 1.97(b) above but before the mailing date of either a Final Action under § 1.113 or a Notice of Allowance under § 1.311, or before an action that otherwise closes prosecution in the application, therefore:

☐ Certification in Accordance with § 1.97(e) is attached; or

☐ The fee of \$180.00 as set forth in § 1.17(p) is attached.

☐ In accordance with § 1.97(d), this Information Disclosure Statement is being filed after the mailing date of either a Final Action under § 1.113 or a Notice of Allowance under § 1.311 but before, or simultaneously with, the payment of the Issue Fee, therefore included are: Certification in Accordance with § 1.97(e); and the submission fee of \$180.00 as set forth in § 1.17(p).

☐ Copies of each of the references listed on the attached Form PTO-1449 are enclosed herewith.

☒ Copies of references listed on the attached Form PTO-1449 are enclosed herewith EXCEPT THAT:

☒ Copies of references listed on the attached Form PTO 1449 are not required to be submitted pursuant to the June 30, 2003 recent revisions to 37 CFR § 1.98(a)(2)(i).

☐ In view of the voluminous nature of references [list as appropriate], and the likelihood that these references are available to the Examiner, copies are not enclosed herewith.

☐ In accordance with § 1.98(d), copies of the following references listed on the attached Form PTO-1449 are not enclosed herewith because they were previously cited by or submitted to the U.S. Patent and Trademark Office in patent application(s) for which a claim for priority under 35 U.S.C. § 120 have been made in the instant application:

☐ Copies of references [list as appropriate] listed on the attached Form PTO-1449 were previously cited by or submitted to the Patent and Trademark Office in prior Application No. , filed .

Please charge any deficiency or credit any overpayment to Deposit Account No. 23-3050.

This form is submitted in duplicate.


☐ The relevance of those listed references which are not in the English language is as follows:

☒ There are no listed references which are not in the English language.

In addition to the other art of record, the inventors are aware of serialization formats in competing products, namely in ORACLE® database software that allows storage of objects, and in IBM DB2® database software. A description of the latter is currently available on the internet at www.acm.org/sigmod/disc/p_implementationoyostw.htm, and a printed copy of this website is attached as a reference to this IDS.

Also, in addition to the XML serialization and the storage engine record serialization described in the background section of this application, the inventors are aware of a Common Language Runtime ("CLR") native serialization format created by MICROSOFT® Corporation.

Date: **April 9, 2004**



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Form PTO-1449 Modified List of Patent and Publications Cited by Applicant (Use several sheets if necessary) U.S. Department of Commerce Patent and Trademark Office		Docket No. MSFT-2955/307064.01	Application No. Not Yet Assigned
		Applicant F. Soner Terek, Ajay Kalhan, Nagavamsi Ponnekanti, Srikumar Rangarajan and Michael J. Zwilling	
		Filing Date Herewith	Group Not Yet Assigned
		Confirmation No. Not Yet Assigned	
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)			
	1	Berg, C., "How Do I Create Persistent Java Objects?" <i>Dr. Dobb's J.</i> , 1997, 22(4), 98-101	
	2	Chien, A.A., "Concurrent Aggregates (CA) – Design and Experience with a Concurrent Object – Oriented Language Based on Aggregates," <i>J. Parallel and Distributed Computing</i> , 1995, 25(2), 174-196	
	3	Darby, C., "Object Serialization in Java 1.1. Making Objects Persistent," <i>WEB Techniques</i> , 1997, 2(9), 55, 58-59	
	4	Haverlock, K., "Object Serialization, Java, and C++," <i>Dr. Dobb's J.</i> , 1998, 23(8), 32, 34, 36-37	
	5	Lim, J.B. et al., "Transaction Processing in Mobile, Heterogeneous Database Systems," <i>IEEE Trans. on Knowledge and Data Engineering</i> , 2002, 14(6), 1330-1346	
	6	Fuh, Y-C. et al., "Implementation of SQL3 Structured Types with Inheritance and Value Substitutability," <i>Digital Symposium Collection 2000</i> , 2000, Abstract only, 2 pages, www.acm.org/sigmod/disc/p_implementationoyostw.htm	
EXAMINER		DATE CONSIDERED	

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				Filing Date Herewith		Group Not Yet Assigned	
				Confirmation No. Not Yet Assigned			

U. S. PATENT DOCUMENTS						
Examiner Initial		Document No.	Date	Name	Class	Subclass
	7	10/692,225	10/23/03	Venkatesh et al.		
	8	10/775,282	02/10/04	Venkatesh et al.		
	9	10/776,371	02/10/04	Carlin et al.		

FOREIGN PATENT DOCUMENTS						
Examiner Initial		Document No.	Date	Country	Translation	
					YES	NO

EXAMINER	DATE CONSIDERED
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